

#9

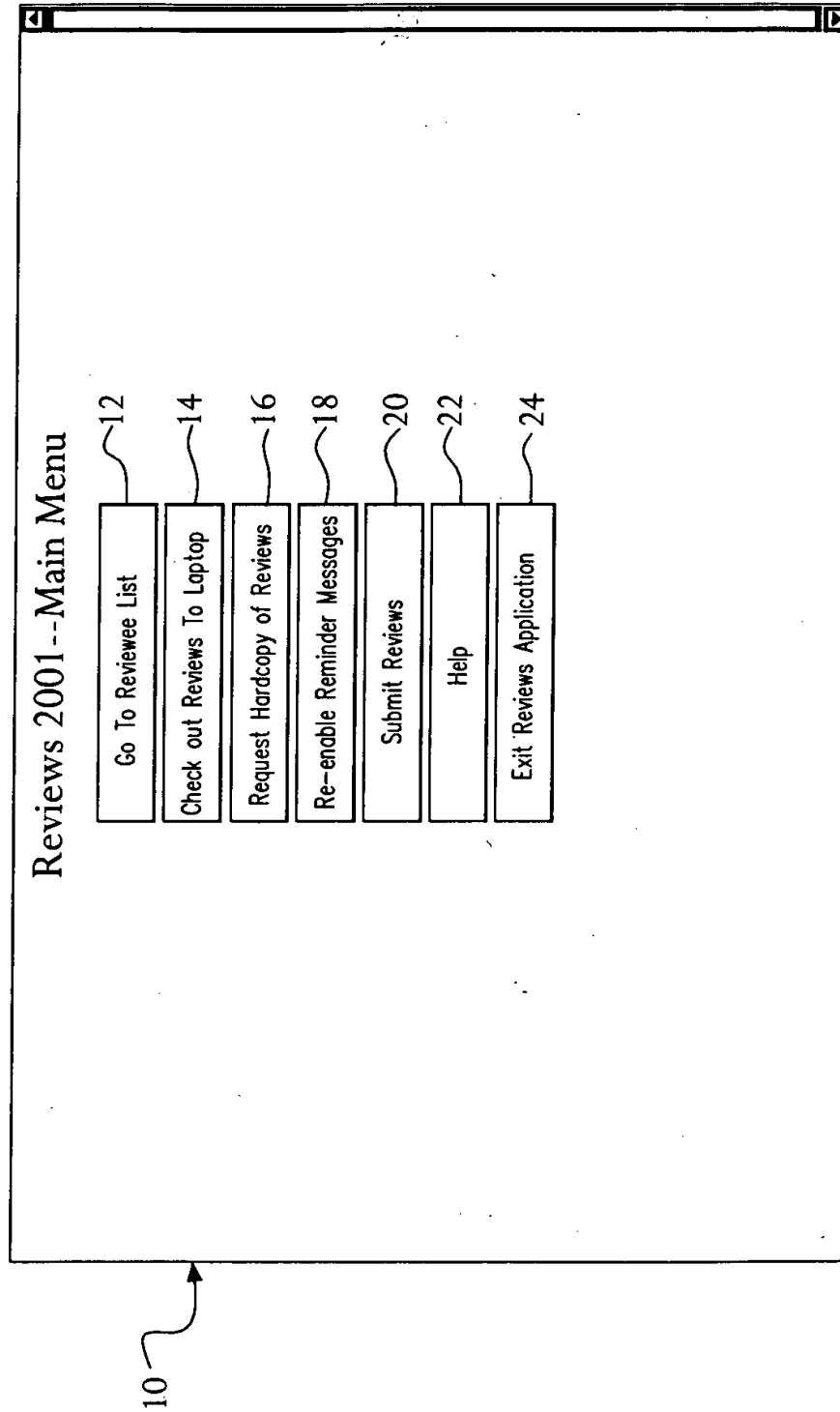


FIG. 1

Figure 2 is a screenshot of a computer screen displaying a window titled "Reviews 2001 - Category Listing". The window has a title bar with "Reviewer: Rosen, David" and a menu bar with "Reviews 2001 - Category Listing". Below the menu bar is a table with columns "Reviewer Name" and "Status". The table lists several reviewers, including "Rosen, David" (Self Evaluation), "Borg, Brian" (Priority Reviews), and "Bourke, Winny" (Unopened). A scroll bar is on the right of the table. Below the table is a section titled "Details for: Borg, Brian" with fields for "Title: Vice President", "Department: ER", and "Location: London". To the right of this is a section titled "What he/she indicated in the interaction checklist process:" with a text area containing "He/She marked you as a "Priority Reviewer"". Below this is a section titled "Client Interaction(s) - Where Available" with a list of company names. At the bottom of the window is a toolbar with buttons: "Open Selected Evaluation", "Print Preview", "Clear Selected Review", "Spell Check", "Add Reviewee", "Display Overall Performance Summary", "Display Review Status Summary", and "Save and Exit to Main Menu".

FIG. 2

56 Reviewee:  Reviewer:  58

Reviews 2001 - Category Listing

Click on a Category Name or Rating to Continue

54

**Key Interaction Information**

Review Type: Downward Exposure: Moderate When: Jan 2000-Dec 2000

**I. Skills Base**

|                         |    |   |   |    |     |     |                                |                      |
|-------------------------|----|---|---|----|-----|-----|--------------------------------|----------------------|
| A. Technical Skills     | SE | E | M | PM | DNM | N/A | <input type="text" value="X"/> | Exceeds              |
| B. Communication Skills |    |   |   |    |     |     |                                | Rating Not Specified |
| C. Approach to Work     |    |   |   |    |     |     |                                | Rating Not Specified |
| D. Judgment             |    |   |   |    |     |     | <input type="text" value="X"/> | Partially Meets      |

**II. Internal Leadership and Contribution**

|                                       |  |  |  |  |  |  |  |                      |
|---------------------------------------|--|--|--|--|--|--|--|----------------------|
| A. Teamwork                           |  |  |  |  |  |  |  | Rating Not Specified |
| B. Managerial Skills                  |  |  |  |  |  |  |  | Rating Not Specified |
| C. Leadership Qualities               |  |  |  |  |  |  |  | Rating Not Specified |
| D. Recruiting, Training and Mentoring |  |  |  |  |  |  |  | Rating Not Specified |

**III. Commercial Contribution and External Leadership**

|  |    |   |   |    |     |     |                                |                      |
|--|----|---|---|----|-----|-----|--------------------------------|----------------------|
| A. Execution Skills                          | SE | E | M | PM | DNM | N/A | <input type="text" value="X"/> | Rating Not Specified |
| B. Commercial Effectiveness/Marketing Skills |    |   |   |    |     |     |                                | Partially Meets      |

**IV. Trend Since Last Review**

Performance Relative to Last Performance Review

Rating Not Specified

**V. Overall Performance Rating**

Performance Relative to Last Performance Review

Rating Not Specified

60

62

64

66

Spell Check   Next >>

FIG. 3

70

72

68

74

Reviewer: Combs, Randy      Reviewer: Rosen, David

Key Interaction Information - Must Be Completed

Review Type (select one)

☐ Upward    ☐ Peer    ☒ Downward

Extends of Exposure (select one)

☒ Extensive    ☐ Moderate    ☐ Limited

Indicate When You worked With Reviewee (select one)

☒ All Year    ☐ Part of the year

If You Worked With Reviewee Only Part of the Year, Indicate Which Quarters (select ALL that apply)

☒ Jan 2000-Mar 2000    ☒ Apr 2000-Jun 2000    ☒ Jul 2000-Sep 2000    ☒ Oct 2000-Dec 2000

Next>>

FIG. 4

Reviewer: Combs, Randy      Reviewer: Rosen, David

1. Skills Base

A. Technical Skills

**ALL BANKERS**

- ☐ Possesses raw intelligence
- ☐ Demonstrates knowledge of finance, accounting and valuation practices necessary to execute assignments
- ☐ Embraces new technologies
- ☐ Utilizes available tools effectively and creatively

**ALL SYSTEMS/ADMIN PROFESSIONALS**

- ☐ Possesses raw intelligence
- ☐ Embraces new technologies
- ☐ Utilizes available tools effectively and creatively
- ☐ Demonstrates a thorough working knowledge of her/his functional responsibilities
- ☐ Evidences the appropriate understanding of the businesses being supported

**ADDITIONAL EMPHASIS FOR VICE PRESIDENTS AND MANAGING DIRECTORS**

- ☐ Demonstrates knowledge of clients' business/industry and products and applies them to solve problems

Performance Rating Relative to Expectations for Peer Group

☐ Substantially Exceeds   
 ☒ Exceeds   
 ☐ Meets   
 ☐ Partially Meets   
 ☐ Does Not Meet   
 ☐ Unable to Judge

The space below is for feedback you have on this or any other category. Please include specific, actionable input and/or the types of assignment/roles/responsibilities you think would be beneficial to consider in the reviewee's development plan. The comments you enter will accumulate in this box as you enter feedback for one or more categories.

FIG. 5

96 Reviewee: **Marmaduke, Jollie** Reviewer: **Rosen, David** 98

1. Skills Base  
A. Core Skills

| Performance Rating Relative to Expectations for Peer Group   |                                  |                       |                       |                                  |                                  |
|--|----------------------------------|-----------------------|-----------------------|----------------------------------|----------------------------------|
|  | Substantially Exceeds            | Exceeds               | Meets                 | Partially Does Not Meet          | Unable to Judge                  |
| ■ Demonstrates the appropriate understanding of business as well as a strong understanding of services, products and relevant source material. | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>            | <input type="radio"/>            |
| ■ Output or work orders are accurate, proofread, and completed by established deadline.  | <input type="radio"/>            | <input type="radio"/> | <input type="radio"/> | <input checked="" type="radio"/> | <input type="radio"/>            |
| ■ Is organized, clear and concise in oral and written communications.  | <input type="radio"/>            | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>            | <input checked="" type="radio"/> |

Additional Comments: Please provide below any additional input which should be considered. The comments you enter will accumulate in this box as you enter feedback for one or more categories.

100

102 << Previous

106 Return to Category Listing

108 Hide Comments

104 Next >>

FIG. 6

112 Reviewee: Combs, Randy 114 Reviewer: Rosen, David

IV. Trend Since Last Review  
Performance Relative to Last Performance Review

116 ■ Only to be completed if you have a very solid basis for comparison.

110

118 Performance Rating Relative to Last Performance Review

120 << Previous 124 Return to Category Listing 126 Enter/Show Comments 122 Next >>

118 ☐ Up ☐ Unchanged ☐ Down ☐ Unable to Judge

FIG. 7

130

Reviewee:  Reviewer:  132

**V. Overall Evaluation/Future Potential Effective Aspects of Performance**

Top Strengths: Detail below the 3-5 strongest, most effective aspects of the reviewee's performance.

134

128

Actionable Areas for Development: Detail below the 3-5 most important areas of development which, if not addressed, could impede the reviewee's professional growth. Provide feedback that is specific and actionable.

136

138

Additional Comments: Provide below any additional input which should be considered. Included specific comments related to any of the review sections (i,ii,or iii) and/or the types of assignments you think would be beneficial to consider in the reviewee's development plan.

144

140

<< Previous

Return to Category Listing

Next >> 142

FIG. 8



148

Reviewer: Combs, Randy

Reviewer: Rosen, David

150

152

V. Overall Evaluation/Future Potential

Overall Performance Rating

146

ALL REVIEWERS

This section should be completed only if you have worked with the reviewee on a broad enough basis to have a comprehensive perspective. This "Overall rating" is a summary assessment of the reviewee's performance and potential. It should represent a composite picture which is consistent with the ratings provided in the individual categories above. In particular, please bear in mind the following: judgment, citizenship, teamwork, professionalism in dealing with colleagues and clients, pride in work, ethical and work standards and credibility.

154

Performance Rating relative to Expectations for Peer Group

☐ Substantially Exceeds
 ☒ Exceeds
 ☐ Meets
 ☐ Partially Meets
 ☐ Does Not Meet
 ☐ Unable to Judge

Justify your "overall evaluation" rating in the space below in no more than 3 or 4 sentences. Do not duplicate comments provided elsewhere in this review. However, if your other feedback does not convey clearly and fully the rationale for the "Overall Evaluation" rating you have given the reviewee, provide that commentary below.

156

<< Previous

Return to Category Listing

Next >>

158

160

FIG. 9

164

Reviewer: Rosen, David

### Reviews 2001 - Overall Performance Summary

This grid displays the distribution of the "Overall Performance" ratings you have given to your reviewees. Only those reviews which are either "Completed" or "In Progress" are reflected. Reviews which remain "Unopened" are not included in this summary.

User this summary to confirm that each individual's "Overall Performance" rating is consistent with the ratings you gave her/him in the specific performance categories and that the "Overall" rating you have given your reviewees are calibrated properly --- not only relative to each other but also relative to the standards against which their peers are being measured by all reviewers.

You can return to a specific review to see your category-specific ratings by first clicking on the reviewee's name and then clicking "Open Selected Evaluation" below or double-clicking on the reviewee's name.

162

| Substantially Exceeds | Exceeds       | Meets                             | Partially Meets                | Does Not Meet  | No Rating Given or N/A  |
|-----------------------|---------------|-----------------------------------|--------------------------------|----------------|---|
| Wonders, Robert       | Charles, Phil | Gingers, Fred<br>Marmaduke, Jolie | Agnosk, Edmond<br>Vivadi, Nora | Agnosk, Edmond | Agnosk, Edmond<br>Bourke, Winny<br>Cheos, Larry<br>Combs, Randy<br>Cummings, Posie<br>Fallen, George<br>Feinstein, Harvey<br>Floss, Avery<br>Gains, Bill<br>Grange, Gilbert<br>Greenfield, Otto<br>Hasselmann, Jean |

Open Selected Evaluation

Return to Reviewee List

166

FIG. 10

168

## Reviews 2001 - Print Preview

### HIGHLY CONFIDENTIAL

2001 Performance Evaluation Form

**Reviewee:** Combs, Randy  
**Reviewee Dept:** HC  
**Review Title:** Vice President  
**Exposure Level:** Moderate  
**Interaction Period:** Jan 2000-Dec 2000

**Reviewer:** Rosen, David  
**Reviewer Dept:** IBS  
**Review Title:** Vice President  
**Review Direction:** Downward

|   | Substantially Exceeds       | Exceeds                             | Meets                         | Partially Meets                     | Does Not Meet            | N/A                      |
|---|-----------------------------|-------------------------------------|-------------------------------|-------------------------------------|--------------------------|--------------------------|
| <b>I. Skills Base</b>                                       |                             |                                     |                               |                                     |                          |                          |
| A. Technical Skills   | <input type="checkbox"/>    | <input checked="" type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> |
| B. Communication Skills                                     | <input type="checkbox"/>    | <input type="checkbox"/>            | <input type="checkbox"/>      | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> |
| C. Approach to Work   | <input type="checkbox"/>    | <input type="checkbox"/>            | <input type="checkbox"/>      | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> |
| D. Judgment   | <input type="checkbox"/>    | <input type="checkbox"/>            | <input type="checkbox"/>      | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>II. Internal Leadership and Contribution</b>             |                             |                                     |                               |                                     |                          |                          |
| A. Teamwork   | <input type="checkbox"/>    | <input type="checkbox"/>            | <input type="checkbox"/>      | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> |
| B. Managerial Skills  | <input type="checkbox"/>    | <input type="checkbox"/>            | <input type="checkbox"/>      | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> |
| C. Leadership Qualities                                     | <input type="checkbox"/>    | <input type="checkbox"/>            | <input type="checkbox"/>      | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> |
| D. Recruiting, Training and Mentoring                       | <input type="checkbox"/>    | <input type="checkbox"/>            | <input type="checkbox"/>      | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>III. Commercial Contribution and External Leadership</b> |                             |                                     |                               |                                     |                          |                          |
| A. Execution Skills   | <input type="checkbox"/>    | <input type="checkbox"/>            | <input type="checkbox"/>      | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> |
| B. Commercial Effectiveness/Marketing Skills                | <input type="checkbox"/>    | <input type="checkbox"/>            | <input type="checkbox"/>      | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>IV. Trend Since Last Review</b>                          |                             |                                     |                               |                                     |                          |                          |
| Performance Relative to Last Performance Review             | Up <input type="checkbox"/> | Unchanged <input type="checkbox"/>  | Down <input type="checkbox"/> | N/A <input type="checkbox"/>        |                          |                          |

FIG. 11

180

Reviewer: Rosen, David

Reviews 2001 - Review Status Summary

Professional Reviews 2000

|                                     | Number on<br>Reviewee List | In Progress | Completed | To Be<br>Handwritten |
|-------------------------------------|----------------------------|-------------|-----------|----------------------|
| Priority Reviews                    | 45                         | 15          | 15        | 0                    |
| Additional Reviews Requested of You | 10                         | 0           | 1         | 0                    |
| Reviews You Have Added              | 25                         | 0           | 2         | 0                    |
| Total                               | 80                         | 15          | 18        | 0                    |
| Self Evaluation                     | 1                          | 0           | 0         | 0                    |

Return to Reviewee List

178

182

FIG. 12

## Reviews 2001 - Add Reviewee

186

184

| Name               | Title             | Dept | Location  |
|--------------------|-------------------|------|-----------|
| Haas, Julie        | Vice President    | CF   | New York  |
| Haberman, Paul     | Vice President    | LEG  | New York  |
| Hadon, Simon       | Managing Director | HC   | New York  |
| Hallman, Vince     | Advisor           | ICA  | London    |
| Hallow, Margaret   | Associate         | IBS  | Stockholm |
| Halprin, Sinbad    | Vice President    | FIRG | New York  |
| Hammerstein, Any   | Administrator     | BSS  | London    |
| Hammonds, Carl     | Managing Director | IBS  | New York  |
| Hanger, Cliff      | Analyst           | RMG  | London    |
| Hans, Dan          | Analyst           | CF   | New York  |
| Hanson, Mary       | Associate         | AG   | Tokyo     |
| Happ, Sal          | Associate         | MA   | New York  |
| Harequin, Nicholas | Managing Director | AG   | Tokyo     |
| Harm, Randi        | Analyst           | CF   | Sydney    |
| Harman, Pete       | Vice President    | CMT  | London    |
| Harmon, Robert     | Managing Director | CF   | New York  |
| Harper, Eileen     | Librarian         | LIB  | New York  |
| Harrison, Jim      | Vice President    | FIG  | New York  |
| Harvey, Bill       | Managing Director | CME  | New York  |
| Hassan, Herbert    | Analyst           | PIA  | Hong Kong |

188 Add Reviewee

190 Cancel

FIG. 13

**Interaction Checklist**

Checklist for:

Shoenfeld, Derek  
Vice President - SYS

Section I  
Reviews Written by You  
Priority Review: 0  
Review Requests: 0

Section II  
Reviews Written by You  
Committed to Write: 0

| Preloaded Interactions            |       | Summary of Interactions |         | Guidelines             |   | Reviews Written by You  |                  |
|-----------------------------------|-------|-------------------------|---------|------------------------|---|---|------------------|
| Name/Title                        | Dept  | Office                  | Client  | Product                | Reviews Written by You  | Priority Review   | Review Requested |
| Abby, Williams<br>Associate       | SYS   | New York                | Company | General Administration | <input type="radio"/> Priority Review<br><input type="radio"/> Review Requested<br><input checked="" type="radio"/> Review Not Needed | <input type="radio"/> Review I Commit to Write<br><input checked="" type="radio"/> My Review Not Needed |                  |
| Alari, Sam<br>Associate           | SYS   | Frankfurt               | Company | General Administration | <input type="radio"/> Priority Review<br><input type="radio"/> Review Requested<br><input checked="" type="radio"/> Review Not Needed | <input type="radio"/> Review I Commit to Write<br><input checked="" type="radio"/> My Review Not Needed |                  |
| Alps, Andrew<br>Managing Director | IBDMG | New York                | Company | General Administration | <input type="radio"/> Priority Review<br><input type="radio"/> Review Requested<br><input checked="" type="radio"/> Review Not Needed | <input type="radio"/> Review I Commit to Write<br><input checked="" type="radio"/> My Review Not Needed |                  |
| Anderson, Donald<br>Associates    | SYS   | New York                | Company | General Administration | <input type="radio"/> Priority Review<br><input type="radio"/> Review Requested<br><input checked="" type="radio"/> Review Not Needed | <input type="radio"/> Review I Commit to Write<br><input checked="" type="radio"/> My Review Not Needed |                  |
| Ashton, Michael<br>Vice President |       |                         |         | General                | <input type="radio"/> Priority Review<br><input type="radio"/> Review Requested<br><input checked="" type="radio"/> Review Not Needed | <input type="radio"/> Review I Commit to Write<br><input checked="" type="radio"/> My Review Not Needed |                  |

Interactions per page: 199

Interactions 1 to 199 of 199

Apply

Add Interactions

Help

Clear Interactions

Print Interactions

Remove Added Interaction

Exit Checklist

Show Added Interactions

Submit Checklist

FIG. 14



Enter Search Criteria:

Surname:

Shoenfeld

232

Title:

Vice President

234

Region:

Americas

236

Location:

New York

238

Divisions:

IB

240

Department:

SYS- Systems

242

Search Roster

246

Clear Search Criteria

244

Matches: 1 person matched search criteria

230

| Name/Title       | Location/Building | Div/Dept |
|------------------|-------------------|----------|
| Shoenfeld, Derek | New York          | IB       |
| Vice President   | One Liberty Plaza | SYS      |

248

Interactions to Add:

250

| Name | Title | Dept |
|------|-------|------|
|      |       |      |

252

Add Non-Roster Interaction

262

Remove

254

Remove All

256

OK

260

Cancel

258

FIG. 16



**Non-Roster Employee Information**

|                                 |                                    |                    |   |
|---------------------------------|------------------------------------|--------------------|---|
| <u>Surname:</u>                 | <input type="text" value="Smith"/> | <u>First Name</u>  | <input type="text" value="John"/>                   |
| <u>Client:</u>                  | <input type="text"/>               | <u>Product:</u>    | <input type="text"/>                                |
| <u>Title:</u>                   | <input type="text"/>               | <u>Office:</u>     | <input type="text" value="New York"/>               |
| <u>Analyst</u>                  | <input type="text"/>               | <u>Department:</u> | <input type="text" value="CF - Corporate Finance"/> |
| <u>Division:</u>                | <input type="text"/>               |                    |   |
| <input type="text" value="IB"/> |                                    |                    |   |

**EXPLANATION:** Please describe succinctly the nature of your interaction with this person and the significance of his/her input in your performance feedback, including a very brief description of the role/function he or she plays in his/her division.

worked with John for 6 months... |

FIG. 17

**Reviews Checklist**

Checklist for: **Shera, Art**  
Vice President SYS

Submit

Add

Clear

Remove

Print

E-Mail

Help

Preloaded/Added Interactions

| Name/Dept/Office                                      | Client  | Product                   |
|---|---------|---------------------------|
| Abreu, Robert<br>Associate<br>SYS<br>New York         | Company | General<br>Administration |
| Alkawari, Salah<br>Associate<br>SYS<br>Frankfurt      | Company | General<br>Administration |
| Alper, Andy<br>Managing Director<br>IBDMG<br>New York | Company | General<br>Administration |
| Andolsen, Daniel<br>Associate<br>SYS<br>New York      | Company | General<br>Administration |
| Antoniou, Yannis<br>Associate<br>SYS<br>New York      | Company | General<br>Administration |

Page 1 of 9

Interactions Summary

Interactions per page (0=all):

Reviews Written of You

Priority Review: 12

Review Requests: 28

Reviews Written by You

Committed to Write: 49

| Reviews Written of You  | Reviews Written by You  |
|---|---|
| <input checked="" type="radio"/> Priority Review<br><input type="radio"/> Review Requested<br><input type="radio"/> Review Not Needed | <input type="radio"/> Review I Commit to Write<br><input checked="" type="radio"/> My Review Not Needed |
| <input checked="" type="radio"/> Priority Review<br><input type="radio"/> Review Requested<br><input type="radio"/> Review Not Needed | <input type="radio"/> Review I Commit to Write<br><input checked="" type="radio"/> My Review Not Needed |
| <input checked="" type="radio"/> Priority Review<br><input type="radio"/> Review Requested<br><input type="radio"/> Review Not Needed | <input type="radio"/> Review I Commit to Write<br><input checked="" type="radio"/> My Review Not Needed |
| <input checked="" type="radio"/> Priority Review<br><input type="radio"/> Review Requested<br><input type="radio"/> Review Not Needed | <input type="radio"/> Review I Commit to Write<br><input checked="" type="radio"/> My Review Not Needed |
| <input checked="" type="radio"/> Priority Review<br><input type="radio"/> Review Requested<br><input type="radio"/> Review Not Needed | <input type="radio"/> Review I Commit to Write<br><input checked="" type="radio"/> My Review Not Needed |
| <input checked="" type="radio"/> Priority Review<br><input type="radio"/> Review Requested<br><input type="radio"/> Review Not Needed | <input type="radio"/> Review I Commit to Write<br><input checked="" type="radio"/> My Review Not Needed |

FIG. 18